

Governor's Office on Disability



Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
October 28, 2009**

Table of Contents

Functional and Organizational Analysis of the Governor’s Office on Disability	3
Sources of Information.....	3
Historical Context	3
Agency Organization	3
Agency Function and Subfunctions	3
Analysis of Record Keeping System and Records Appraisal of the Governor’s Office on Disability	5
Agency Record Keeping System	5
Records Appraisal	5
Permanent Records List	7
Governor’s Office on Disability Records Disposition Authority	8
Explanation of Records Requirements.....	8
Records Disposition Requirements	9
Advocating, Assisting, and Coordinating	9
Administering Internal Operations: Managing the Agency	9
Administering Internal Operations: Managing Finances	10
Administering Internal Operations: Managing Human Resources	11
Administering Internal Operations: Managing Properties, Facilities, and Resources	11
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)	13

Functional and Organizational Analysis of the Governor's Office on Disability

Sources of Information

- Representatives of the Governor's Office on Disability
- Executive Order 52 (March 2, 1993) – Created as a division under the Alabama Development Office known as the Americans With Disabilities Act (ADA) Development and Compliance Section
- Executive Order 7 (April 28, 1999) – Created the Governor's Office on Disability
- Executive Order 43 (October 9, 2008) – Created the Governor's Office on Disability
- Governor's Office on Disability Audit Report
- Governor's Office on Disability Website

Historical Context

The first Governor's Office on Disability (hereafter referred to as GOOD) was established in 1999. GOOD is currently operated under Executive Order 43, issued by Governor Bob Riley on October 9, 2008. There was no state agency designated solely to disabilities before the GOOD was established.

Agency Organization

The Governor's Office on Disability is managed by an Executive Director, who is assisted by a Deputy Director. Both positions are appointed by the Governor. The agency may employ other staff members as needed. GOOD is housed and located within the Alabama Department of Rehabilitation Services and subject to its personnel policies, rules, and regulations, to the extent applicable, yet remains a separate agency.

Agency Function and Subfunctions

The mandated function of the office is to facilitate the inclusion of citizens of the state with disabilities in education, employment, housing, transportation, health care, and leisure. It is one of the agencies responsible for performing the Client Services function of Alabama government.

In the performance of its mandated function, the agency may engage in the following subfunctions:

- **Advocating, Assisting, and Coordinating.** In accordance with the Executive Order 43 of 2008, the purpose and duties of the agency include: (1) serve, in conjunction with the Alabama Department of Rehabilitation Services, as point of contact in the Governor's Office for issues related to people with disabilities; (2) collect and compile information on Alabama resources for individuals with disabilities and their families; (3) serve as liaison to the Governor on disability issues; (4) monitor Alabama legislation and policies that affect people with disabilities and provide information to the Governor; (5) collaborate with other

Alabama public and private disability organizations and resources to increase efficiency in the use of available resources for Alabamians with disabilities; (6) accept and handle referrals regarding disability issues from the Governor's Office; (7) enter into inter-agency agreements with any state agency or organization(s) to further the purposes of GOOD; (8) monitor disability constituent issues to the extent of developing, assisting in the development of, or recommending policies and/or legislation to address such issues in coordination with the Governor's Office; (9) maintain local advisory committees around the state for the purpose of determining the unmet needs of persons with disabilities and otherwise soliciting their input and reporting this information to the Governor; (10) provide informal legal opinions on disability issues to the Governor's Office and assist it on legal matters related to individuals with disabilities; (11) serve as a statewide clearinghouse for information on disability issues; and (12) prepare a quarterly report and an annual report of GOOD's activities for distribution.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, and documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accountings for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Governor's Office on Disability

Agency Record Keeping System

The Governor's Office on Disability operates a hybrid system composed of paper and standard Microsoft Office platform electronic records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Governor's Office on Disability: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met.

- **GOOD Call Database.** This database, created using Microsoft Access, contains contact data and issues received from consumers with disabilities who have reached out to GOOD for information and/or assistance. It is a reference for GOOD staff to look at when helping consumers.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Advocating, Assisting, and Coordinating

- **Meeting Agendas, Minutes, and Packets of the Governor's Office on Disability Advisory Council and Local Advisory Councils.** The GOOD Advisory Council is formed by people with disabilities, representatives of disability organizations, and parents of children with disabilities. The group meets every other month to advise GOOD on different issues related to GOOD's mission and duties stated in the Executive Order 43. Local Consumer Advisory Councils, mainly composed of persons with disabilities, are a combined function group with the Department of Rehabilitation Services consumer advisory councils. There are nine (9) local consumer advisory councils across the state and they meet up to twice a year. This series constitutes the core documentation of the activities of the two advisory councils. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Governor's Office on Disability Advisory Council and Local Advisory Councils)**
- **Publications.** This series contains publications issued by this agency. Publications may include newsletters, annual reports, and brochures pertaining to the activities of GOOD. **(Bibliographic Title: Publications)**

Administering Internal Operations

- **Website.** The agency has a website at: www.good.alabama.gov. Subject categories on the web include agency strategic plan, calendar, publications, resource links, and agency contact data. The website should be preserved as it serves as an important medium for communication with the public. **(Bibliographic Title: Website)**
- **Agency History Files.** This series consists of materials, not included in other listed record series, which document the history of the agency. These records need to be maintained permanently for their historical value. **(Bibliographic Title: Agency History Files)**
- **Inventory Lists.** The Code of Alabama 1975 § 36-16-8[1] requires that “...All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office.

Permanent Records List Governor's Office on Disability

Advocating, Assisting, and Coordinating

1. Meeting Agendas, Minutes, and Packets of the Governor's Office on Disability Advisory Council and Local Consumer Advisory Councils
2. Publications

Administering Internal Operations

1. Website
2. Agency History Files
3. Inventory Lists*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Governor's Office on Disability Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Governor's Office on Disability. The RDA lists records created and maintained by the Governor's Office on Disability in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Governor's Office on Disability to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of Governor's Office on Disability's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other short-term records that do not materially document the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; and (2) transitory records, which are temporary records created for internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal

communications about social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; and (3) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Governor's Office on Disability and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Advocating, Assisting, and Coordinating

MEETING AGENDAS, MINUTES, AND PACKETS OF THE GOVERNOR'S OFFICE ON DISABILITY ADVISORY COUNCIL AND LOCAL CONSUMER ADVISORY COUNCILS

Disposition: PERMANENT RECORD.

PUBLICATIONS

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Consumer Assistance Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

GOOD Consumer Call Database

Disposition: Temporary Record. Retain until information is obsolete.

Administering Internal Operations: Managing the Agency

WEBSITE

Disposition: PERMANENT RECORD. Preserve a complete copy of website annually or as often as significant changes are made.

AGENCY HISTORY FILES

Disposition: PERMANENT RECORD.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

System documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Agency Audit Reports

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

Administering Internal Operations: Managing Human Resources**Records documenting payroll (e.g. pre-payroll reports, payroll check registers)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employee hours worked, leave earned and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of employee final leave status

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Equal Employment Opportunity Complaint Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Properties, Facilities, and Resources**INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing Records

Disposition: Temporary Record. Retain 6 years after termination of lease.

Records documenting the use, maintenance, ownership, insurance, and disposition of equipment owned by the agency

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the equipment is removed from the property inventory.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Governor’s Office on Disability (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure its records’ preservation and accessibility for the periods legally required.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term

value.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 28, 2009.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Graham Sisson, Executive Director
Governor's Office on Disability

Date